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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/082,982	02/25/2002	Chaing Chen		1878

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EXAMINER

PATEL, NIRAV B

ART UNIT

PAPER NUMBER

2135

DATE MAILED: 11/18/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 10/082,982	Applicant(s) CHEN ET AL.	
	Examiner Nirav Patel	Art Unit 2135	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 12 October 05 (Amendment).
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-8, 10-12 and 14-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-8, 10-12 and 14-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 25 February 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>n/a</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Applicant's amendment filed on October 12, 2005 has been entered. Claims 1-8, 10-12, 14-20 are pending. Claims 9 and 13 are cancelled by the applicant and claims 1, 6, 7, 8, 10, 11, 17- 20 are also amended by the applicant.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1, 6-8, 10-12, 14-19 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Martherus et al (US Pub No. 2002/0112155) and in view of Guski et al (US Patent No. 5,592,553).

As per claim 1, Martherus teaches:

authentication authority means to serve as a Web services powerhouse to authenticate user identity **[Fig. 1 component 34 paragraph 0083 lines 3-4]**,

gateway authority means to serve as a gateway to delegate (forward) said authentication authority Web services to said authentication authority means **[Fig. 1 component 28, paragraph 0189 lines 16-17]**,

authentication client means to serve as an *end-user device* **[Fig. 1 component 12]**,

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authentication handler means to serve as a doorkeeper to protect resources of business entities using said authentication authority Web services **[Fig. 1 component 18, paragraph 0076 lines 2-4],**

means comprising:

transmitting from said authentication client means to said authentication handler means **[Fig. 1 paragraph 0088 lines 10-12],**

composing authentication requests by said authentication handler means, and transmitting said authentication requests from said authentication handler means to means selected from the group consisting of said gateway authority means and said authentication authority means **[Fig. 1 paragraph 0088 line 12 paragraph 0082],**

processing said authentication requests by said gateway authority means, and redirecting said authentication requests from said gateway authority means to said authentication authority means **[Fig. 1 paragraph 0088 lines 12, 16-17],**

generating authentication responses by said authentication authority means, and transmitting said authentication responses back to said authentication handler means **[Fig. 1 paragraph 0088 lines 32-34],**

whereby a scalable and distributable system to authenticate and validate said user identity will be provided **[paragraph 0088 28-32 paragraph 0083 lines 3-4],**

whereby the authentication system can be used as an ID verification system for said business entities to verify said user identity over a channel selected from the group consisting of the Internet, phone and other communication means **[Fig. 1 paragraph 0013 lines 11-12].**

Martherus teaches technology for authenticating user and user access requests for protected resource. Martherus doesn't expressively mention that end-user device generates the one-time identity codes.

However, Guski teaches that end-user device generates the one-time identity codes **[col. 6 lines 35-37 Fig. 3, Fig. 2]**.

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Guski into the teaching of Martherus to generate on-time identity codes. The modification would be obvious because one of ordinary skill in the art would be motivated to prevent unauthorized access to system resources by using the intercepted passwords together with nonsecret information as a user ID **[Guski, col. 1 lines 25-28]**.

As per claim 6, the rejection of claim 1 is incorporated and Martherus teaches:

gateway authority means and said authentication authority means contain means comprising the use of Web services technology to be separated and placed in the Internet accessible environment to become said scalable and distributable system **[Fig. 1]**.

As per claim 7, the rejection of claim 1 is incorporated and Martherus teaches:

said authentication authority means contain means comprising the use of Web services technology to register and manage said user identity, said authentication client means identity, said user private identity, and associated vital information **[Fig. 1 paragraph 0084 lines 1-4, paragraph 0085 lines 1-5, paragraph 0073 lines 1-9]**.

As per claim 8, the rejection of claim 1 is incorporated. In addition, Martherus teaches the authentication authority **[Fig. 1, component 34]** that authenticates the user and to establish and/or manage identity profile **[paragraph 0085]**. Martherus doesn't expressively mention that generating the one-time identity codes.

However, Guski teaches that generating the one-time identity codes **[col. 6 lines 42-44 Fig. 3, Fig. 2]**.

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Guski into the teaching of Martherus to generate on-time identity codes. The modification would be obvious because one of ordinary skill in the art would be motivated to prevent unauthorized access to system resources by using the intercepted passwords together with nonsecret information as a user ID **[Guski, col. 1 lines 25-28]**.

As per claim 10, the rejection of claim 1 is incorporated and Martherus teaches:

said authentication responses generated by said authentication authority means contain means comprising the use of Web services technology to inform said authentication handler said user identity **[Fig. 1 paragraph 0088 32-34]**.

As per claim 11, the rejection of claim 1 is incorporated. Martherus teaches the technology for authenticating user using Web service **[Fig. 1]**. Martherus doesn't expressively mention the synchronization codes.

However, Guski teaches that generates synchronization codes and conduct synchronization **[Fig. 3, col. 3 lines 28-32]**.

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of Guski into the teaching of Martherus to generate on-time identity codes. The modification would be obvious because one of ordinary skill in the art would be motivated to prevent unauthorized access to system resources by using the intercepted passwords together with nonsecret information as a user ID **[Guski, col. 1 lines 25-28]**.

As per claim 12, the rejection of claim 11 is incorporated and Guski teaches:

said synchronization codes are arranged to be generated by math functions comprising hash, power and modular math operators, wherein said math functions are arranged to

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use said user identity, said authentication client identity, and said user private identity as the input information **[Fig. 4 col. 7 lines 45-57]**.

As per claim 14, the rejection of claim 11 is incorporated and Guski teaches:

said authentication authority means and said authentication client means contain means to generate confirmation codes to verify the success of said synchronization **[Fig. 3, 4, 6 col. 7 lines 1-3]**.

As per claim 15, the rejection of claim 1 is incorporated and Guski teaches:

said authentication authority means and said authentication client means contain means to independently generate non-predictable sequence number which is an essential part for producing said one-time identity codes **[Fig. 4, 6 col. 9 lines 1-8, 22-27]**.

As per claim 16, the rejection of claim 15 is incorporated and it encompasses limitations that are similar to limitations of claim 12. Thus, it is rejected with the same rationale applied against claim 12 above.

As per claim 17, the rejection of claims 7, 12 and 16 are incorporated and Martherus teaches user private identity comprises said user's biometric identity and

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other shared secret information **[paragraph 0085, paragraph 0099 lines 11-12]**. In addition, Guski teaches that user identity **[col. 6 lines 29-34]**.

As per claim 18, the rejection of claim 1 is incorporated and Martherus teaches:

said authentication client means contain means comprising the use of Web services technology to be incorporated in a portable, hand-held device **[paragraph 0013 lines 10-12]**.

As per claim 19, the rejection of claim 1 is incorporated and Martherus teaches:

said authentication handler means is arranged to be executed on said business entities' computers which support the use of Web service technology **[Fig. 1 component 18]**.

As per claim 20, the rejection of claim 1 is incorporated and Martherus teaches:

said authentication handler means contain means to receive and process said user logon request, compose and submit authentication request to said authentication authority means, process and validate returned authentication response from said authentication authority means, and grant permission for said user to log onto said business entities' computer **[Fig. 1 paragraph 0088]**.

3. Claims 2, 3, 4 and 5 are rejected under 35 USC 103 (a) for being unpatentable over Martherus et al (US Pub No. 2002/0112155) and in view of Guski et al (US Patent No. 5,592,553) and further in view of Brown et al (US Pub No. 2002/0169988, L. Brown).

As per claim 2, the rejection of claim 1 is incorporated and L. Brown teaches:

gateway authority means contain means to interact with other entities of said gateway authority means, and publish said authentication authority Web services to Web service industry's registries [**page 2 paragraph 0025, Fig. 1 "Service providers 11 host a network accessible software module. A service provider defines a service description for a Web service and publishes it to a service registry 13"**].

Therefore, it would have been obvious to a person of ordinary skill in the art at the time the invention was made to incorporate the teaching of L. Brown into the teaching of Martherus and Guski that use Web services to publish and discover the information. The modification would be obvious because one of ordinary skill in the art would be motivated to use Web services because Web services offers the dual promise of simplicity and pervasiveness. Web services are based on the extensible Markup Language (XML) standard data format and data exchange mechanisms, which provide both flexibility and platform independence [**L. Brown, page 1 paragraph 0002, 0006**].

As per claim 3, the rejection of claim 2 is incorporated and further L. Brown teaches:

gateway authority means are arranged to use Web Services Description Language (WSDL) to publish said authentication authority Web services, and use Universal Description, Discovery and Integration (UDDI) standard to discover said authentication authority Web services published by other said gateway authority entities **[page 3 paragraph 0032, 0034 “The logical interface and the service implementation are described by the Web Services Description Language (WSDL). WSDL is an XML vocabulary used to automate the details involved in communicating between Web services applications, Referring back to FIG. 1, the service can be publicized by being registered in a standard-format web registry 13. This registry makes it possible for other people or applications to find and use the service. For example, one can publish descriptive information, such as taxonomy, ownership, business name, business type and so on, via a registry that adheres to the Uniform Description, Discovery and Integration (UDDI) specification or into some other XML registry”]**.

As per claim 4, the rejection of claim 1 is incorporated. Martherus teaches the Hypertext Transport Protocol (HTTP) and Secure Socket Layer (SSL) **[Fig. 1, paragraph 0077, 0082]** and further L. Brown teaches:

authentication authority means, said authentication handler means, and said authentication client means are arranged to use Simple Object Access Protocol (SOAP)

to communicate, and use Hypertext Transport Protocol (HTTP) packets to transmit data over Secure Socket Layer (SSL) **[page 3 paragraph 0043 “The SOAP security extension included with WebSphere Application Server 4.0 is intended to be a security architecture based on the SOAP Security specification, and on widely-accepted security technologies such as secure socket layer (SSL). When using HTTP as the transport mechanism, there are different ways to combine HTTP basic authentication, SSL, and SOAP signatures to handle varying needs of security and authentication”]**.

As per claim 5, the rejection of claim 4 is incorporated and further L.

Brown teaches:

Data contains means to be transmitted by using File Transport Protocol (FTP) and Simple Mail Transport Protocol (SMTP) **[page 3 paragraph 0031 “it is possible to send SOAP messages over IBM MQSeries®, FTP or even as mail messages”]**.

Response to Arguments

4. Applicant's amendment filed on October 12, 2005 has been fully considered and is persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Martherus et al and Gulski et al.

Conclusion

5. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Zhang et al (US 6,253,327) discloses a method and apparatus for providing single-step logon access for a subscriber to a differentiated computer network having more than one separate access area.

Wood et al (US 6,944,761) discloses security architecture has been developed in which a single sign-on is provided for multiple information resources.

Nadooshan (US 6,61,182) discloses a centralized token generating server.

Yatsukawa (US 6,148,404) --- Authentication System using Authentication information valid on-time.

Audebert et al (US 2002/0194499) discloses a data processing method, system and apparatus for using an intelligent portable device.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nirav Patel whose telephone number is 571-272-5936. The examiner can normally be reached on 8 am - 4:30 pm (M-F).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on 571-272-3859. The fax phone


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number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

NBP

11/14/05



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